

STEVEN I. DICK Deputy District Attorney

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LAW OFFICES OF THE PUBLIC DEFENDER JOSE R. VILLARREAL, #96091 RANDY I. DANTO, #88206 1 2 County of Santa Clara 120 W. Mission St 3 San Jose, California 95110 Telephone: 408-299-7761 4 FEB 03 2003 Attorneys for Defendant 5 KIRI TORRE Superior Comit of CA County of Canto Clare 6 7 8 IN THE SUPERIOR COURT OF THE STATE OF CALIFORNIA 9 IN AND FOR THE COUNTY OF SANTA CLARA 10 11 PEOPLE OF THE STATE OF CALIFORNIA, No. CC241061 12 Plaintiff, MOTIONS IN LIMINE 13 -vs-14 STEVE BADUE, 15 Defendant. 16 17 18 ADVANCE RULINGS PERMITTED 19 Counsel may, through a motion in limine, seek an advance court ruling excluding certain 20 evidence and a ruling forbidding any mention of or reference to certain evidence. (Charbonneau 21 v. Superior Court (1974) 42 Cal.App.3d 505-507.) 22 II. SUBJECT MATTER 23 The subject matter of the motion in limine may relate to any matter which the court has the 24 authority to exclude under the Evidence Code. (Hrnjak v. Gaymar (1971) 4 Cal.3d 725; C.E.B. 25 California Civil Procedure During Trial, section 6.47.) This motion may also be used to require 26 the opponent to establish foundational facts in advance for admissibility. (Hyatt v. Sierra Boat 27 28

MOTIONS IN LIMINE

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Company (1978) 79 Cal.App.3d 325.)

#### III. DISCOVERY REQUEST

The defense requests the following discovery pursuant to the agreement between counsel:

- A stipulation of compliance with the standing discovery agreement between the District Attorney and the Public Defender Offices;
  - 2) A witness list;
- 3) Disclosure of all potentially exculpatory evidence favorable to the defendant, regardless of whether it relates directly to the issue of guilt, innocence or matters relevant to punishment. (*People v. Rutherford* (1975) 14 Cal.3d 399);
- 4) Disclosure of evidence relating to the witnesses to be called by the prosecution, which relates to their credibility, veracity or character. (*Ibid.*);
  - 5) Review of all physical evidence;
- 6) Disclosure of any evidence of acts of misconduct committed by the defendant other than those which are mentioned in the Information, which the prosecutor intends to offer into evidence.

# IV. EVIDENCE TO BE EXCLUDED PURSUANT TO EVIDENCE CODE §352

Evidence code section 352 states:

The court in its discretion may exclude evidence if its probative value is substantially outweighed by the probability that its admission will (a) necessitate undue consumption of time or (b) create substantial danger of undue prejudice, of confusing the issues, or of misleading the jury.

The defense anticipates the prosecution will seek to admit evidence of Defendant's prior 290 conviction. Defendant has the right to admit that he suffered a prior conviction, thereby taking it away from the jury's consideration. Therefore the defendant respectfully requests the court exercise its power under Evidence code section 352 and exclude any mention of this evidence.

V. MOTION TO EXCLUDE REFERENCE TO ANY PRIOR CONVICTION WHICH THE DEFENDANT HAS SUFFERED.

If the defendant should testify, his prior conviction should be excluded under Evidence

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 Code section 352, and the *Beagle/Castro/Collins* line of cases. The relevant inquiry for the court requires analysis of the following questions: (1) Does the prior conviction evidence a lack of truthfulness or dishonesty? (2) Is it remote in time? (3) Is it so similar that the jury will judge the defendant on the basis of that crime and not the one currently before it? (4) Would it prevent the defendant from testifying and thus inhibit the court's search for the truth?

The prior conviction(s) should be excluded in this case because Prior 290 conviction is not admissible for impeachment.

If the court allows the prior convictions(s) to be admitted, then the defense requests that the court sanitize them by prohibiting the prosecution from admitting the facts underlying the charge itself.

# VI. DEFENSE REQUESTS BIFURCATION OF ANY PRIOR CONVICTION ALLEGED IN THE INFORMATION

The defense requests that the prior conviction(s) alleged in the Information be bifurcated and tried after the charged offense. (People v. Bouzas (1991) 53 Cal.3d 467, 470-480; People v. Ancira (1985) 164 Cal.App.3d 378; People v. Bracamonte (1981) 119 Cal.App.3d 664, 654, disapproved in People v. Calderon (1994) 9 Cal.4th 69, 79-80, to the extent that it implies that bifurcation is mandatory in every case.)

The principal issue controlling the court's consideration of this issue is the potential prejudicial effect of admission of evidence of a prior conviction. Presenting a jury with evidence of crimes other than those for which defendant is on trial often poses a grave risk that the jury will conclude defendant has a criminal disposition and therefore probably committed the new offense. (People v. Calderon, supra, 9 Cal.4th at 75.)

Among the factors that may influence the potential for prejudice in the particular case are the degree to which the prior conviction is similar to the charged offense, how recently the prior conviction occurred, and the relative seriousness or inflammatory nature of the prior compared to the charged offense. (*Id.*, at 79.) Although the determination whether to bifurcate rests within the sound discretion of the trial court, "the risk of undue prejudice posed by the admission of evidence

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of a prior conviction, considered against the minimal inconvenience generally caused by 1 bifurcating the trial, frequently will militate in favor of granting a defendant's timely request for 2 3 bifurcation." (Id.) The Calderon court concluded that denying defendant's bifurcation motion would be an 4 5 abuse of discretion where evidence of the alleged prior conviction "would have apprised [sic] the jury that defendant recently had been convicted of attempted robbery, a crime bearing some 6 7 similarity to, and of comparable seriousness to the charged offense of attempted burglary—thereby creating a serious risk that the jury would conclude that defendant has a criminal disposition." (Id., at 80.) 9 THE DEFENSE REQUESTS THAT EACH OBJECTION POSED DURING THESE 10 VII. MOTIONS IN ADMISSION. LIMINE CONSTITUTE A CONTINUING OBJECTION TO 11 12 The defense requests a stipulation that each objection posed during these motions in limine 13 constitute a continuing objection to admission. (People v. Jennings (1988) 46 Cal.3d 963; People 14 v. Karis (1988) 46 Cal.3d 612.) 15 VIII. WITNESS EXCLUSION 16 Pursuant to Evidence Code section 777, the defense requests that all witnesses and potential 17 witnesses be excluded from the courtroom. 18 19 20 21 Dated: February 3, 2003 Respectfully submitted, 22 23 JOSE R. VILLARREAL Public Defender 24 25 Randy I. Danto Deputy Public Defender 26 27 28

MOTIONS IN LIMINE

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## SUPERIOR COURT OF CALIFORNIA COUNTY OF SANTA CLARA HONORABLE RISE J. PICHON HALL OF JUSTICE – EAST / DEPT 36

Date: February 3, 2003

Case No: CC241061

Deputy Court Clerk: Jose Olivarez Court Reporter: Tricia Norris

Deputy: Nathan Negosa

The People of the State of California

Deputy District Attorney: Steven Dick

VS.

Steve Badue

**Counsel for Defendant: Randy Danto** 

NATURE OF PROCEEDINGS: Motions In Limine

Day One

2:16 PM The Court is called to order with all parties present to proceed with Motions In Limine. The Defendant is present and in-custody.

# People's Motions In Limine

- 1. The Defendant can be impeached with his prior convictions.
  - A. Penal Code Section 314 Court will hear further arguments.
  - B. Penal Code Section 148.9 Granted.
- II. The Defendant should be prohibited from arguing that the current case is barred by double jeopardy or collateral estoppel **Granted**.
- III. The Court may take judicial notice of it's file Granted.
- IV. The Defendant should not be allowed to argue that the crime should be a misdemeanor - Granted.

## 2:50 PM Defense's Motions In Limine

- 1. Allow Defendant to admit prior conviction of PC290 Withdrawn by Defendant.
- II. Bifurcation of PC667.5(b) prior conviction alleged in the information Court reserves ruling and takes under submission.

The People agree to replace the word "prison" for the word "in-custody" when making their argument.

3:11 PM The Court stands in recess. The Defendant remains in the custody of the California Department of Corrections.

Date: February 03, 2003 The People vs. Steve Badue Page 2 of 2 CC241061

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4:00 PM The Court is called to order with all parties present. The Defendant is present and incustody. The Court takes Defendant's jury waiver. Counsel join in the waiver of jury. The Court accepts the jury waiver.

4:01 PM The Court adjourns for the evening recess. The matter is continued to Wednesday, February 5, 2003 at 9:00 a.m. in Department 36 for commencement of court trial.

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# SUPERIOR COURT OF CALIFORNIA COUNTY OF SANTA CLARA HONORABLE RISE J. PICHON HALL OF JUSTICE -- EAST / DEPT 36

Date: February 5, 2003

Deputy Court Clerk: Jose Olivarez

Court Reporter: Cindi Johnson

Case No: CC241061

Deputy: Nathan Negosa

The People of the State of California

**Deputy District Attorney: Steven Dick** 

VS.

Steve Badue

Counsel for Defendant: Randy Danto

**NATURE OF PROCEEDINGS: Court Trial** 

**Day Two** 

9:27 AM

The Court is called to order with all parties present. Defendant is present and incustody. The Court takes judicial notice of the Court's file with regards to Defendant's identity.

9:29 AM

People's Exhibit 1: Nine page certified copy of Prior Conviction (Docket # SM223630) — is marked for identification and admitted.

People's Exhibit 2: Thirteen page certified copy of Prior Conviction (Docket # C9947075) — is marked for identification and admitted.

People's Exhibit 3: Ten page certified copy of Prior Conviction (Docket # 208774) – is marked for identification and admitted.

People's Exhibit 4: Ten page certified copy of Prior Conviction (Docket # 182210) – is marked for identification and admitted.

People's Exhibit 5: Twenty-two page certified copy of Prior Conviction (Docket # C9349405) – is marked for identification and admitted.

9:30 AM

The People call witness, Teresa D. McDaniel, who is sworn and examined on direct by Mr. Dick.

9:35 AM

The Court thanks and excuses the witness.

9:36 AM

The People call witness, Francis Gallegos, who is sworn and examined on direct by Mr. Dick.

9:37 AM

People's Exhibit 6: Seven page certified copy of Department of Corrections packet (03/14/2002) – is marked for identification and admitted.

10:15 AM

9:40 AM	People's Exhibit 11: Two page certified copy of VCIN document (01/05/2003) – is marked for identification and admitted.
9:42 AM	People's Exhibit 7: One page Registration Change of Address/Annual Update form (06/18/2001)—is marked for identification and admitted.
· · · · · · · · · · · · · · · · · · ·	People's Exhibit 8: One page Registration Change of Address/Annual Update form (09/16/1999) – is marked for identification and admitted.
	People's Exhibit 9: One page Registration Change of Address/Annual Update form (06/14/1999) – is marked for identification and admitted.
9:46 AM	People's Exhibit 10: One page certified copy of California Sex Offenders printout (Steve Kent Badue)— is marked for identification and admitted.
9:47 AM	The Court thanks and excuses the witness.
9:49 AM	The People call witness, Trak Keo, who is sworn and examined on direct by Mr. Dick.
9:50 AM	Counsel stipulate to witness' in-court identification of Defendant. The Court accepts stipulation.
9:52 AM	The Court thanks and excuses the witness.
9:54 AM	The Court stands in recess.
10:10 AM	The Court reconvenes with all parties present. The Defendant is present and incustody. The People call witness, Richard Peretti, who is sworn and examined on direct by Mr. Dick.
	People's Exhibit 12: One page request for certified copy of Booking Sheet and Photo (03/11/3002)— is marked for identification and admitted.
	People's Exhibit 13: Three page request for certified copy of Booking Sheet and Photo (03/11/2002)— is marked for identification and admitted.
10:11 AM	Counsel stipulate that witness is an expert in analyzing and comparing latent fingerprints. The Court accepts the stipulation.

**People's Exhibit 14:** Five page packet of Booking Photos and Fingerprints with red cover page — is marked for identification and admitted.

Date: February 05, 2003 The People vs. Steve Badue Page 3 of 3 CC241061

People's Exhibit 15: Two page request for certified copy of Prints (03/11/2002) - is marked for identification and admitted.

People's Exhibit 16: Three page request for certified copy of Ten Print Card (03/26/2002) - is marked for identification and admitted.

Document 16-3

People's Exhibit 17: Four page Mugshot of Steve Kent Badue (03/26/2002) - is marked for identification and admitted.

People's Exhibit 18: One page Registration Change of Address/Annual Update (06/18/2001)- is marked for identification and admitted.

The Court thanks and excuses the witness. The Court takes judicial notice that the 10:19 AM City of San Jose is in the County of Santa Clara.

10:20 AM The People rest.

10:24 AM The Defense rests.

10:25 AM The People give closing arguments.

10:26 AM Defense counsel submits the matter. The Court takes a short recess to review all the evidence.

The Court reconvenes with all parties present. Defendant is present and in-custody. 10:48 AM The Court makes the following findings:

Count	<u>Charge</u>	<u>Verdict</u>	<u>Allegation</u>	<u>Finding</u>
		200		
1	PC290(g)(2)	Guilty	PC667.5(b)	True

The matter is referred to Adult Probation for a full presentence report. Time is not waived for sentencing. The matter is set for Thursday, March 6, 2003 at 1:30 p.m. in Department 36 for sentencing and probation.

10:50 AM The Court stands in recess

# **CONFIDENTIAL**

# MAY NOT BE EXAMINED WITHOUT COURT ORDER

THE PEOPLE

VS

STEVE KENT BADUE

**COURT OF APPEAL NUMBER:** 

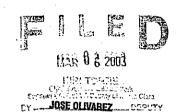
CASE NUMBER:

CC241061

PROBATION OFFICER'S REPORT

SEALED PAGES 66 THRU 89

IN THE SUPERIOR COURT OF THE STATE OF CALIFORNIA IN AND FOR THE COUNTY OF SANTA CLARA THE PEOPLE OF THE STATE OF CALIFORNIA,



PLAINTIFF, REPORT OF PROBATION OFFICER No.: CC241061 vs. March 6, 2003 S. Dick, D.A. STEVE KENT BADUE. R. Danto, P.D. DEFENDANT,

#### COURT DATA

SENTENCING COURT: Honorable Rise J. Pichon

Count One, Section 290(g)(2) of the Penal Code

(Failing to Register at Birthdate, with a PC 290 Prior

Conviction or Juvenile Adjudication)

One within the meaning of Section 667.5(b) of the Penal Code Prison Prior - Adds One Year PRIORS:

#1: Section 113550 of the Health and Safety Code (Santa

Clara Co. No. C9947075)

PROBATION ELIGIBILITY:

DATE OF OFFENSE: February 27, 2002

DATE OF ARREST: October 14, 2002 (see Supplemental Information)

Found guilty Court Trial and the allegation of a CONVICTION:

Prison Prior was found true on February 5, 2003.

CONDITIONS: None

REMAINING CHARGES: None

DAYS IN CUSTODY: 144 actual days, 72 days - 4019 PC, 216 total

days; (see Supplemental Information) presently

in custody

AGE & DATE OF BIRTH: 37; January 4, 1966; Mississippi

In the Case of STEVE KENT BADUE <u>Info. #: CC241061</u>

March 6, 2003

#### SUPPLEMENTAL INFORMATION:

According to the CJIC minute order dated February 5, 2003, the defendant's PFN is listed as BGN149; however, the defendant's true PFN is BQN149.

Document 16-3

The defendant was arrested on March 7, 2002, in Stockton and a parole hold was placed. The defendant had a hearing on April 15, 2001 and was sentenced to an 11-month sentence for absconding parole, giving false identification to a peace officer, and failure to register pursuant to Section 290 of the Penal Code. He completed his sentence on October 13, 2002. The defendant is entitled to custody credits on the instant offense effective October 14, 2002.

According to CJIC, the defendant has an "IN PROCESS" case, Docket No. C8270848. The defendant entered a conditional plea on April 15, 1982, after being convicted of violating Section 245(b) of the Penal Code, (Assault with a Deadly Weapon other than a Firearm Against a Peace Officer or Firearm) a felony, and Section 871 of the Welfare and Institutions Code (Escape from Juvenile Facility), a misdemeanor. As of the completion of this report, efforts were being made to ascertain the disposition of this matter.

#### SUMMARY OF OFFENSE:

On February 19, 2002, a San Jose Police Officer working in the Sexual Registration Enforcement Team determined that the defendant was out of compliance with his sexual registration pursuant to Section 290 of the Penal Code. The defendant last registered with the San Jose Police Department on June 18, 2001, at which time he identified himself as a transient.

The defendant was in custody in a California Department of Corrections Institution in Tracy, serving an 11-month parole violation sentence for absconding from parole when he was transferred from Santa Clara County Jail on September 17, 2002. According to parole records, the defendant was out of custody from October 11, 2001 and was not arrested again until March 7, 2002.

The defendant missed his registration within five days after his release from prison in October 2001. Also, he did not register 60 days thereafter as required of transients, and he did not register in January on his birthday annual registration.

March 6, 2003

#### DEFENDANT'S STATEMENT:

The undersigned officer attempted to interview the defendant on February 20, 2003, at the Santa Clara County Main Jail. The defendant declined to make any statements or give any social

#### INTERESTED PARTIES:

Indecent Exposure convictions

On September 27, 1993, the defendant was convicted of misdemeanor Indecent Exposure on Docket No. C9349405 and sentenced to 90 days County Jail and probation to terminate upon release from custody. He was also ordered to register pursuant to Section 290 of the Penal Code.

On September 25, 1995, the defendant was convicted of misdemeanor Indecent Exposure on Docket No. 182210, and sentenced to 91 days County Jail with 91 days credit for time served. The defendant was granted formal probation for 91 days.

In reference to Case #SF072508A, according to Stockton Police Report No. 97-56699, dated October 30, 1997; the defendant walked into a laundry mat where the 16-year-old victim was. He went to the restroom. The victim felt uneasy and went to the store adjacent to the laundry mat. As she was talking to the clerk, the defendant entered the store and exposed his penis in his hand. The defendant requested an adult magazine from the store As the clerk was getting the magazine, the defendant bumped the victim from behind with his abdomen area. The victim thought that the defendant bumped against her with his exposed penis.

The victim called her father then called police. The victim's father confronted the defendant in the restroom in the laundry mat. When the defendant opened the restroom door, the victim's father saw the defendant's exposed penis in his hand. When police officers arrived, they located the defendant in the bathroom sitting on the toilet with his pants to his ankles but his underwear on. Officers found two pornographic magazines on the bathroom floor. The defendant was arrested.

Later, officers found the defendant had hidden three torn out pages from the pornographic magazine in his underwear and a role of matches in his anus.

According to CII, on October 30, 1997, the defendant was sentenced to five years probation with a six month County Jail sentence for violating Section 314.1 of the Penal Code, a felony.

March 6, 2003

Attempts to contact San Joaquin County Probation Department regarding the status of this matter have been unsuccessful. Ιf contact is made prior to sentencing, that information will be forwarded to the Court.

According to Parole Unit Supervisor, P. Torda, the defendant was first released from custody on January 22, 2001. Since that date, the defendant has had three separate parole violations for absconding from parole and other violations. He has served three separate parole violation sentences, which included a threemonth, a six-month, and his most recent 11-month sentence, which was completed on October 13, 2002, while he was in custody in Santa Clara County. Supervising Parole Agent Torda, believes the defendant deserves a prison commitment and does not believe there are any mitigating circumstances to warrant a mitigated prison commitment, given the defendant has never reported to parole since his initial release from prison, thus indicating an unwillingness to comply with parole or supervision.

#### (Docket #C9947045)

A presentence report was prepared by the Adult Probation Department dated February 18, 2000 for Docket No. C9947075. the defendant's section the probation officer wrote, "the defendant ... does not want probation involved in his life and would not be willing to report on a monthly basis." In the case evaluation section, the probation officer wrote, "At the time of the verdict the defendant expressed to the Court he did not want to accept the terms and conditions of probation. He continues to maintain that position." "Though the defendant feels he is not harming anyone else with his behavior, the undersigned is concerned that the continuing exposure behavior, and engaging in passerby with inappropriate comments indicates an escalation of the seriousness of that behavior."

### JUDICIAL COUNCIL RULES 4.414, 4.421 & 4.423: (Attached)

#### CASE EVALUATION:

Steven Badue is 37 years old and appearing before the Court for sentencing after being found guilty by Court trial of one count of Failing to Register at Birth Date with a PC 290 Prior Conviction or Juvenile Adjudication and the allegation of a Prison Prior found true. The defendant was out on parole with a warrant for failure to report to his parole agent when it was determined the defendant had failed to register with San Jose Police Department since June 18, 2001.

The defendant's criminal history consists of three prior felony convictions, one for felony Indecent Exposure in Stockton, one for failing to register pursuant to Section 290 PC and Section 11350(a) of the Health and Safety Code. The defendant also has

March 6, 2003

13 misdemeanor convictions, which include various types of behavior including two for Indecent Exposure, drug-related offenses, and assaultive behavior in Santa Clara County.

The defendant has made it clear both by his statements to the Court and the investigating probation officer on previous matters, as well as his behavior while on parole, he has no intention of complying with either registering as a sex offender or reporting to his parole agent. In this officer's opinion the defendant is an unsuitable candidate for probation. The defendant's behavior indicates a lack of respect for the criminal justice system as evidenced in his unwillingness to comply with the Court and Parole orders. The defendant is deserving of a prison commitment given he has been previously convicted of not complying with sex registration requirements.

Given the defendant violated parole three times in the first year after being released from prison, having served additional prison terms for his inappropriate behavior and noting this has not discouraged the defendant from persisting in similar behavior, this officer believes that a mid-term prison commitment and imposition of the additional punishment for his prison prior of one year be imposed for a total sentence of three years in the Department of Corrections.

#### SUGGESTED TERM:

CHARGE	MIT	AGG	RANGE	ENHANCEMENTS	TOTAL TERM
Ct. 1, 290(g)(2) PC	No	No	16 mos, 2, 3, yrs	None	2 Years
			•	1 yr (667.5(b) PC)	1 Year
				ጥርምል፤, ጥፑዮΜ፣	3 Veare

credits 144+72 = 216 (4019)

March 6, 2003

# RECOMMENDATION:

- Probation be denied.
- 2. The defendant be committed to the California Department of Corrections for three (2) years.
- The defendant be advised of a subsequent three (3) year period of Parole Supervision.
- A General Fund Fine and Penalty Assessment be imposed.
- The defendant shall not possess a firearm pursuant to Section 12021 of the Penal Code.
- A Restitution Fine of \$400.00 be imposed under the formula permitted by Penal Code Section 1202.4(b).

(Continued)

March 6, 2003

### RECOMMENDATION: (Continued)

An additional Restitution Fine of an amount equal to that imposed under Penal Code Section 1202.4 be imposed and suspended pursuant to Section 1202.45 of the Penal Code.

NOTE: Attorney fees if appropriate.

Respectfully submitted,

JOHN CAVALLI Chief Probation Officer

Edward H. Mattson Deputy Probation Officer 408/435-2173

EHM/jm Attachments

Reviewed by:

Joseph Mensah

Supervising Probation Officer 408/435-2139

The above report has been read and considered by the Court.

RISE J. PICHON Judge of the Superior Court

Santa Clara County, California

#### SOCIAL DATA

NAME: Steve Badue DATE: 3/6/03 INFO #: CC241061 AGE: DOB: 1/4/66 PLACE: Mississippi INS #: ADDRESS: PHONE #: HOME: ( ) WORK: ( LENGTH OF RESIDENCE IN COUNTY: STATE: USA: COHABITANTS: EMERGENCY CONTACT: HOME: ADDRESS: WORK: NAME CITY & STATE TELEPHONE # FATHER: MOTHER: MARITAL STATUS: SPOUSE: NUMBER OF CHILDREN: AGE(S): LIVES WITH: EMPLOYMENT HISTORY: CURRENT/LAST EMPLOYER: DATES: CITY & STATE: NET PAY: S REASON FOR LEAVING: OCCUPATION: LONGEST EMPLOYER: DATES: CITY & STATE: SALARY: \$ REASON FOR LEAVING: OCCUPATION: EDUCATION: SPECIAL ED: TRAINING PROGRAMS: PROGRAM: DATES: COMPLETED: HEALTH PROBLEMS/HANDICAPS: PRESENT TREATMENT PROGRAM: PREVIOUS TREATMENT PROGRAMS: NAME & ADDRESS: DATES: COMPLETED:

PRIOR CONVICTIONS: FELONY: 2 MISDEMEANOR: 13
JUVENILE: n/a

NOTE: Unless indicated (v), information on this form has <u>not</u> been verified.

# **RULE 4.414: CRITERIA AFFECTING PROBATION**

Criteria affecting the decision to grant or deny probation include:

Favor	able	Unfavorable		
			(a)	Facts relating to the crime, including:
	·	Ø	(a) (1)	The nature, seriousness, and circumstances of the crime as compared to other instances of the same crime.  Comment: Del. Continues the same kehaviar in choosing not to register or follow his requirements
	йlA		(a) (2)	Whether the defendant was armed with or used a weapon. Comment:
	MA		(a) (3)	The vulnerability of the victim. Comment:
Image: Control of the	NA		(a) (4)	Whether the defendant inflicted physical or emotional injury. Comment:
	Alu		(a) (5)	The degree of monetary loss to the victim. Comment:
		Ø	(a) (6)	Whether the defendant was an <u>active</u> or passive participant. Comment:
			(a) (7)	Whether the crime was committed because of an unusual circumstance such as great provocation, which is unlikely to recur.  Comment:
		□ .	(a) (8)	Whether the manner in which the crime was carried out demonstrated criminal sophistication or professionalism on the part of the defendant. Comment:
	MA		(a) (9)	Whether the defendant took advantage of a position of trust or confidence to commit the crime.  Comment:

# RULE 4.414: CRITERIA AFFECTING PROBATION: (Continued)

Favor	able Unfavo	rable	
		(b)	Facts relating to the defendant, including:
	卤	(b) (1)	Prior record of criminal conduct; whether as an adult or a juvenile, including the recency and frequency of prior crimes; and whether the prior record indicates a pattern of regular or increasingly serious criminal conduct.  Comment: Fuls to requirer
	Z,	(b) (2)	Prior performance on probation or parole and present probation or parole status.  Comment: Three farole goldhon within one year after being released.  Willingness to comply with the terms of probation.
	, Ø	(b) (3)	Willingness to comply with the terms of probation.  Comment: Previously stated does not want probability.
	Ø	(b) (4)	Ability to comply with reasonable terms of probation as indicated by the defendant's age, education, health, mental faculties, history of alcohol or other substance abuse, family background and ties, employment and military service history, and other relevant factors.  Comment:
	Ø	(b) (5)	The likely effect of imprisonment on the defendant and his or her dependants.  Comment:
	Ø	(b) (6)	The adverse collateral consequences on the defendant's life resulting from the felony conviction.  Comment:
	unknown 🗆	(b) (7)	Whether the defendant is remorseful.  Comment:
	Ø	(b) (8)	The likelihood that if not imprisoned the defendant will be a danger to others.  Comment: The defendant cannot be tracked if he field to segister

# **CIRCUMSTANCES IN AGGRAVATION**

Applicable Factors are marked: **CRIME RELATED FACTORS/RULE 4.421** П The crime involved great violence, great bodily harm, threat of great bodily harm, or other acts (a) (1) disclosing a high degree of cruelty, viciousness, or callousness. (a)(2)The defendant was armed with or used a weapon at the time of the commission of the crime. The victim was particularly vulnerable. (a) (3) (a) (4) The defendant induced others to participate in the commission of the crime or occupied a position of leadership or dominance of other participants in its commission. (a) (5) The defendant induced a minor to commit or assist in the commission of the crime. (a) (6) The defendant threatened witnesses, unlawfully prevented or dissuaded witnesses from testifying, suborned perjury, or in any other way illegally interfered with the judicial process. (a) (7) The defendant was convicted of other crimes for which consecutive sentences could have been imposed but for which concurrent sentences are being imposed. (a) (8) The manner in which the crime was carried out indicates planning, sophistication, or professionalism. (a) (9) The crime involved an attempted or actual taking or damage of great monetary value. П (a) (10) The crime involved a large quantity of contraband. (a) (11) The defendant took advantage of a position of trust or confidence to commit the offense. **DEFENDANT RELATED FACTORS/RULE 4.421** The defendant has engaged in violent conduct, which indicates a serious danger to society. The defendant's prior convictions as an adult or sustained petitions in juvenile delinquency proceedings are numerous or of increasing seriousness. For same offense The defendant has served a prior prison term. [05ed to Enhance] (b) (3) (b) (4) The defendant was on probation or parole when the crime was committed. The defendant's prior performance on probation or parole was unsatisfactory. (b) (5)

STA	TUTORY AGGRA	AVATORS:
	136.1(f) PC -	Use of Force to Intimidate Witness
	186.22(b)(2) -	Criminal Street Gang Activity that is Committed on the Grounds or Within 1,000 Feet of a School During Hours It is Open or Minors Using the Facility
	243,4 PC -	Sexual Battery of Employee by Employer
	502.9 PC -	Larceny (Theft) of Elder or Dependent Adult
	515 PC -	Embezzlement of Elder or Dependent Adult
	525 PC -	Extortion of Elder or Dependent Adult
	1170.7 PC -	Robbery or Attempted Robbery for Controlled Substances of Pharmacist, Employee, Person with Legal Possession of Same.
	1170.71 PC -	288 With Use of Obscene/Harmful Matter.
	1170.72 PC -	Controlled Substance Offenses Involving Minors 11 Years Old or Younger.
	1170.73 PC -	Quantity, Sections 11377, 11378 or 11378.5 H&SC
	1170.74 PC -	Crystalline Form, Sections 11377, 11378, 11379, 11379.6 H&SC
	1170.75 PC -	Felony Committed Due to Victim's Race, Color, Religion, Nationality, Ancestry, Disability, Gender, Sexual Orientation or Country of Origin.
	1170.76 PC -	Commit 243.4, 245, 273.5 or 273.55 PC by Member of Household or Relative.
	1170.78 PC -	451 (Arson) in Retaliation Against Owner/Occupant.
	1170.8 PC -	(a) Robbery or Assault with Deadly Weapon In House of Worship.
		(b) 451 or 453 to Church, Synagogue, Place of Worship or Place Owned by Religious, Educational Worship.
	1170.81 PC -	Victim of Attempted Life Term Crime Was a Peace Officer.
	1170.82 PC -	Providing Controlled Substance to Person Who is Pregnant, Has Prior Violent Felony Conviction, or is in Psychological Treatment.
	1170.84 PC -	Serious Felony - Defendant Engaged in Tying, Binding or Confining Victim.
	1170.85 PC -	(a) PC - Felony Assault/Battery to Prevent or Dissuade a Witness or Against One Who Gives Information to Authorities.
		(b) PC - Victim Vulnerable or Unable to Defend Him or Herself Due to Age or Significant Disability.

		· · · · · · · · · · · · · · · · · · ·
STA	TUTORY A	AGGRAVATORS: (con't)
	1170.86	Felony Conviction of 220, 261, 261.5 266j or 269 Within Safe School Zone With Student Victim.
	1170.89	PC - Firearm Related to Possession, Use, Furnishing or Supplying Firearm Enhancement was Stolen.
	11373(L	o) HS- Commit 11353, 11354, 11380 After Failure to Complete Court Ordered Education or Treatment Program.
	No Agg	ravators
		CIRCUMSTANCES IN MITIGATION
App	icable Fac	tors are marked:
<u>CRII</u>	ME RELAT	ED FACTORS/RULE 4.423:
	(a) (1)	The defendant was a passive participant or played a minor role in the crime.
	(a) (2)	The victim was an initiator of, willing participant in, or aggressor or provoker of the incident.
	(a) (3)	The crime was committed because of an unusual circumstance, such as great provocation, which is unlikely to recur.
	(a) (4)	The defendant participated in the crime under circumstances of coercion or duress, or the criminal conduct was partially excusable for some other reason not amounting to a defense.
	(a) (5)	The defendant, with no apparent predisposition to do so, was induced by others to participate in the crime.
	(a) (6)	The defendant exercised caution to avoid harm to persons or damage to property, or the amounts of money or property taken were deliberately small, or no harm was done or threatened against the victim.
	(a) (7)	The defendant believed that he or she had a claim or right to the property taken, or for other reasons mistakenly believed that the conduct was legal.
	(a) <u>(</u> 8)	The defendant was motivated by a desire to provide necessities for his or her family or self.
	(a) (9)	The defendant suffered from repeated or continuous physical, sexual, or psychological abuse inflicted by the victim of the crime; and the victim of the crime, who inflicted the abuse, was the defendant's spouse, intimate cohabitant, or parent of the defendant's child; and the facts concerning the abuse do not amount to a defense.

DEFENDANT	RELATED	FACTOR	RS/RULE	4.423:

	(b) (1)	The defendant has no prior record, or an insignificant record of criminal conduct, considering the recency and frequency of prior crimes.
	(b) (2)	The defendant was suffering from a mental or physical condition that significantly reduced culpability for the crime.
	(b) (3)	The defendant voluntarily acknowledged wrongdoing prior to arrest or at an early stage of the criminal process.
	(b) (4)	The defendant is ineligible for probation and, but for that ineligibility, would have been granted probation.
	(b) (5)	The defendant made restitution to the victim.
	(b) (6)	The defendant's prior performance on probation or parole was satisfactory.
Ø	No Mitigators	

JPQH V39 QUERY SINGLE CEN HISTORY SANTA CLARA COUNTY ARREST AND DISP PFN: BQN149 LNAM: BADUE FNAM: STEVE CASE#/PURPOSE: PSI/MATTSON HISTORY NOT REC'D WRONG	OSITION HISTORY  MNAM: NMN GEN:
HAS COMPLIED WITH PC296 ON 09/04/2001 PERSON DATA ALIASES: BADUE STEVE KENT BADUE STEVE BADUE STEVE BADUE STEVE BADUE STEVE BADUE STEVEN NMN BADUE STEVEN KENT	Released by SCCAPD to:  DA: Date 3-3-3 By: 5M  ATT: Date By:  Other: Date By:
ID: 05/01/1998 PHOTO: 09/17/2002	DECEASED:
	GHT HAIR EYES OO BLACK BROWN
CII: FBI#: DANG: 0609 SSN: 554~73-9441	88 SUPO: 1 MORE DLNS
REG: Y Y NEXP: 05/23/2007 AEXP: TREATMENT CT: ************************************	GEXP:
**************************************	RELEASE STATUS
CRT-DOCKET: SJ 43470-CC241061 FILED: 03/04	/2002 DA CASE #: 020305786
** ARREST WARRANT ISSUED 03/04/2002 BY 8J 434	70-CC241061 CEN: 02505160 **
AAG ARR OFFCR OF	RELEASE STATUS HELD CEN: 02505160 09/17/2002 VER IND: VERIF CN DASN RRANT
**************************************	RELEASE STATUS 06/22/2001 06:30 CDC

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HOSE
             V39 QUERY SINGLE CEN HISTORY
                                                   02/20/2003 11:58 PAGE:
               SANTA CLARA COUNTY ARREST AND DISPOSITION HISTORY
PFN: BGN149 LNAM: BADUE
                                 FNAM: STEVE MNAM: NMN
CASE#/PURPOSE: PSI/MATTSON HISTORY NOT REC'D WRONG PEN ON JSQD BGN149
ORIG CEN
            BOOK DATE
                        BOOK TYPE
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01007976
            02/09/2001
                        ENROUTE
                                                     02/16/2001 07:03 CDC
    STAY DT/CD:
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                      ARR OFFCR
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   CDC - PAROLE
                          - T.B.DAVIS
IN PROCESS Fronsherred to CDC party violation
ORIG CEN BOOK DATE
                        BOOK TYPE
                                                         RELEASE
                                                                      STATUS
99056618
            10/01/1999
                        ONVIEW
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    STAY DT/CD:
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   SAN JOSE PD
                          ~ MARTINEZ
                                               992741271
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                                              DSP
                                                                      DDSP
   HS 11350
                                F
                                            CMBND OTHER COUNT/CASE 10/07/1999
   HS 11550
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                                            CMBND OTHER COUNT/CASE 10/07/1999
   PC 314.1
                                F
                                            TRANSFER PROSECUTION
                                                                    10/22/1999
   VC 21955
                                Ι
                                            TRAFFIC-NONREPORT DISP
                                                                   12/09/1999
   VC 40508(A)
                                T
                                            TRAFFIC-NONREPORT DISP 12/09/1999
   CRT-DOCKET: SJ 43470-H2171746
                                     FILED: 07/13/1999
                                                        DA CASE #:
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                         M/F
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   VC 21955
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                                          DDSP: 12/09/1999
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                         M/F
                                PRS
                                       ENHC
   VC 40508(A)
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   DISPOSITION: DSMSD/INT OF JU PC1385
                                          DDSP: 12/09/1999
   CRT-DOCKET: SJ 43470-C9947075
                                     FILED: 10/06/1999 DA CASE #: 991028159
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                         M/F
                                PRS
                                       ENHC
   PC 314.1
                          F
   DISPOSITION: HELD TO ANSWER
                                          DDSP: 10/25/1999
   CHARGE
                         M/F
                                PRS
                                       ENHC
   HS 11350(A)
   DISPOSITION: HELD TO ANSWER
                                           DDSP: 10/25/1999
   CHARGE
                         M/F
                                PRS
                                       ENHC
   HS 11550(A)
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   DISPOSITION: CERTIFIED TO SUP CT
                                          DDSP: 10/25/1999
   CRT-DOCKET: SU 43100-C9947075
                                     FILED: 11/08/1999
                                                         DA CASE #: 991028159
                         M/F PRS
                                       ENHC
   PC 314.1
   DISPOSITION: DISMISSED
                                          DDSP: 01/06/2000
   CHARGE
                         16 Z
                                PRS
                                       ENHC
   HS 11350(A)
   DISPOSITION: CONVICTED
                                          DDSP: 01/06/2000
       SENTENCE:
                       02/18/2000
       FEES:
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                       $200.00 RESTITUTION FINE
       MISC:
                       PAY TO DEPT OF REVENUE
       PRISON:
                       16 MONTHS CALIFORNIA DEPT CORRECTIONS, LOWER TERM,
                       TOTAL CREDIT: 211 DAYS
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V39 QUERY SINGLE CEN HISTORY
JPGH
                                                 02/20/2003 11:58 PAGE: 3
              SANTA CLARA COUNTY ARREST AND DISPOSITION HISTORY
PFN: BQN149 LNAM: BADUE
                                 FNAM: STEVE MNAM: NMN
                                                                      GEN:
CASE#/PURPOSE: PSI/MATTSON HISTORY NOT REC'D WRONG PFN ON JSQD BGN149
       PRISON ENH:
       NOTE:
                       ADV 3YRS PAROLE. TOTAL CDC TERM 16MOS. TRANSPORT
                       FORTHWITH.
   CHARGE
                         M/F
                                PRS
                                       EMHC
   HS 11550(A)
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                                 2
   DISPOSITION: CONVICTED
                                          DDSP: 01/06/2000
       SENTENCE:
                       02/18/2000
                       211 DAYS COUNTY JAIL CONCURR, TOTAL CREDIT: 211 DAYS
    ***<del>**************************</del>
ORIG CEN PEGU DATE BOOK TYPE
                                                       RELEASE
ORIG CEN
           BOOK DATE
                        BOOK TYPE
                                                       RELEASE
                                                                   STATUS
98322292
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                        ONVIEW
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                     ARR OFFCR
                                                OFCN
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   SAN JOSE PD
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                               M/F
                                              DSP
                                                                    DDSP
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                                                                  09/30/1998
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   PC 290(G)(2)
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   CHARGE
                         M/F
                                PRS
                                       ENHC
   PC 290(G)(2)
   DISPOSITION: HOLDING DENIED
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   CHARGE
                         M/F
                                PRS
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   HS 11350(A)
   DISPOSITION: DSMSD/INSUF EVIDENCE
                                          DDSP: 10/05/1998
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             V39 QUERY SINGLE CEN HISTORY
                                                02/20/2003 11:58 PAGE:
SANTA CLARA COUNTY ARREST AND DISPOSITION HISTORY
PFN: BQN149 LNAM: BADUE FNAM: STEVE MNAM: NMN
CASE#/PURPOSE: PSI/MATTSON HISTORY NOT REC'D WRONG PFN ON JSQD BGN149
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                                    FILED: 10/19/1998 DA CASE #: 980922763
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PC 290(G)(Z)
DISPOSITION:
CONVICTED
                               PRS ENHC
                                        DDSP: 11/02/1998
       SENTENCE:
                      11/02/1998
                      90 DAYS COUNTY JAIL, TOTAL CREDIT: 25 DAYS $200.00 RESTITUTION FINE
       JATI :
       FEES:
       CJAF FEES:
                       $141.00
       MISC:
                      PAY TO DEPT OF REVENUE, SEX REGISTRATION
                      70 DAYS FORMAL PROB TERMINATES ON RLSE
       PROBATION:
       NOTE:
                   CJAF/SAN JOSE.
                 M/F PRS
   CHARGE
                                      ENHC
    PC 290(G)(2)
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98526306 08/18/1998 CRIMINAL CITATION
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                                           981637
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HS 11550(A)
                                             DSP
                                                                  DDSP
   HS 11550(A)
                                         FILED
   CRT-DOCKET: SJ 43470-C9898023 FILED: 08/24/1998 DA CASE #: 980922663
    CHARGE
   CHARGE M/F PRS ENHC
HS 11550(A) M
   DISPOSITION: AMENDED MISCELLANEOUS
   HS 11550(A)
DISPOSITION: CONVICTED

M/F PRS ENHC
M/3 4
                                        DDSP: 09/18/1998
                                         DDSP: 10/27/1998
       SENTENCE:
                      10/27/1998, IMPOSITION SENT SUSPENDED
                      3 DAYS COUNTY JAIL, ACTUAL CREDIT: 28 DAYS $100.00 RESTITUTION FINE
       FEES:
                      NARCOTIC REGISTRATION
3 YEARS COURT PROBATION
       MISC:
       PROBATION:
       PROBATION FINE: $0.00 FINE CONCURRENT
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 BOOK DATE BOOK TYPE RELEASE STATE O9/14/1998 ONVIEW O4/22/1999 23:53 RAC REMAND BOOKING * 43470-C9898023 CEN: 98526306 STAY DT/CD: VER IND: VERIF
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                                             DECN
                                                        DASN
                     - JIMENEZ 982570197
   SAN JOSE PD
   CASES CONVERTED FROM CJIC
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VER IND: UNKNOWN

OFCN

941400864

STAY DT/CD:

SJS UNIV PD

ARR OFFCR

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09/23/1994 23:30 SREL

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            V39 QUERY SINGLE CEN HISTORY
                                              02/20/2003 11:58 PAGE:
              SANTA CLARA COUNTY ARREST AND DISPOSITION HISTORY
PFN: BQN149 LNAM: BADUE
                           FNAM: STEVE
                                            MNAM: NMN
                                                                  GEN:
CASE#/PURPOSE: PSI/MATTSON HISTORY NOT REC'D WRONG PFN ON JSOD BGN149
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                             M/F
                                           DSP
                                                                DDSP
   PC 243(B)
                              M
                                        849B-OTHER UNSPECIFIED 05/20/1994
   PC 647(C)
                              М
                                        PRIOR BOOKING
                                                              05/20/1994
   HS 11550(A)
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                                        PRIOR BOOKING
                                                              05/20/1994
   MC 13.44.140
                                        TRAFFIC-NONREPORT DISP
                                                             05/20/1994
   PC 647(C)
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                                        FILED
   CRT-DOCKET: SJ 43470-H1234713
                                  FILED: 08/24/1993
                                                     DA CASE #:
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                 M/F
                             PRS
                                    ENHC
   MC 13.44.140
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                       M/F
                              PRS
                                    ENHC
   PC 647(C)
                        М
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                                       DDSP: 05/24/1994
   CRT-DOCKET: SJ 43470-09492377
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PC 243.1
DISPOSITION: CONVICTED
SENTENCE
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                                    ENHC
                                       DDSP: 05/31/1994
                      05/31/1994
       SENTENCE:
                     30 DAYS COUNTY JAIL CONSECTV
CTS 12D, CNS/ANY & C9481487, COMMITTED. KH
       JAIL:
       NOTE:
    **<del>******************</del>
                     CEN
        BOOK DATE
                      BOOK TYPE
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                                                                STATUS
9351040
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                                                12/27/1993 09:00
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                    ARR OFFCR
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   SAN JOSE PD
                   2938
                                           933610180
   BOOKING CHARGES:
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   HS 11550(A)
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V39 QUERY SINGLE CEN HISTORY
JPQH.
                                                 02/20/2003 11:58 PAGE:
SANTA CLARA COUNTY ARREST AND DISPOSITION HISTORY
PFN: BQN149 LNAM: BADUE FNAM: STEVE MNAM: NMN
                                                                      GEN:
CASE#/PURPOSE: PSI/MATTSON HISTORY NOT REC'D WRONG PFN ON JSQD BGN149
   CRT-DOCKET: SJ 43470-C9481487
                                    FILED: 02/22/1994 DA CASE #:
   CHARGE M/F PRS
HS 11550(A) 45 9 2
                                       ENHC
   DISPOSITION: CONVICTED
                                         DDSP: 05/31/1994
       SENTENCE: 05/31/1994

JAIL: 180 DAYS COUNTY JAIL CONSECTV

NOTE: CTS 12D,CNS/ANY & OTHER,REG PURS 11590HS,NO PROG. KH
CEN BOOK DATE BOOK TYPE
9350292 12/20/1993 LOCAL BENCH WARRANT
                                                     RELEASE STATUS
                                                   12/21/1993 01:34 SCIT
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                    ARR OFFCR
   AAG
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   SJS UNIV PD L7171 -
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                                             DSP
                                                                    DDSP
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           BOOK DATE BOOK TYPE RELEASE STATUS 09/25/1993 LOCAL BENCH WARRANT 11/22/1993 06:50 SREL
9339588
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    SJS UNIV PD D817 -
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                                                                 -09/25/1993
                                141
    HS 11550
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                                M
                                                                  09/25/1993
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                                           COURT FILED CHARGE
                                                                 09/25/1993
                                                                09/25/1993
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COURT FILED CHARGE
    PC 135
                                М
    HS 11550(A)
                                M
                                                                  09/25/1993
    HS 11364
                                           COURT FILED CHARGE
                                                                  09/25/1993
    PC 242/243(C)
                                           FILED
    HS. 11550(A)
                                           FILED
    HS 11364
PC 135
                                           FILED
                                           FILED
    PC 647(B)
                                           COMMITMENT .
                                                                  10/04/1993
    PC 314.1
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                                                                  10/04/1993
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        JAIL:
                        90 DAYS COUNTY JAIL
        NOTE:
                        CTS 3 DAYS; REG PURS HS11590. JP
    CHARGE
HS 11550(A)
DISPOSITION: CONVICTED

OFFITTION
                                PRS
                                     ENHC
                                          DDSP: 09/27/1993
        SENTENCE:
                        09/27/1993
        JAIL:
                        90 DAYS COUNTY JAIL CONCURR
        NOTE:
                        CTS 3 DAYS.
    CHARGE
                                PRS
                                        ENHC
    HS 11364
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             V39 QUERY SINGLE CEN HISTORY
                                               02/20/2003 11:58 PAGE:
              SANTA CLARA COUNTY ARREST AND DISPOSITION HISTORY
PFN: BON149 LNAM: BADUE
                                FNAM: STEVE MNAM: NMN
CASE#/PURPOSE: PSI/MATTSON HISTORY NOT REC'D WRONG PFN ON JSQD BGN149
   DISPOSITION: CONVICTED
SENTENCE: 09
                                        DDSP: 09/27/1993
                      09/27/1993
       JAIL:
                      10 DAYS COUNTY JAIL CONCURR
       NOTE:
                      CTS 3 DAYS C/C W/CT 1.JP
   CHARGE
                       M/F PRS
                                     ENHC
   PC 135
   DISPOSITION: CONVICTED SENTENCE: 09
                                       DDSP: 09/27/1993
                      09/27/1993
       JATLE
                      10 DAYS COUNTY JAIL CONCURR
                      CTS 3DAYS C/C W/CT1.JP
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9331181
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                                            932160398
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   PC 314
                              M
                                         CMBND OTHER COUNT/CASE 08/19/1993
   PC 647(B)
                              М
   CRT-DOCKET: 8J 43470-C9349405
                                   FILED: 08/19/1993 DA CASE #:
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                       M/F
MY
                             PRS
                                     ENHO
   PC 314.1
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                                       DDSP: 10/04/1993
       SENTENCE:
                      10/04/1993
       JAIL:
                      120 DAYS COUNTY JAIL
                      HIV TESTING & CSLG WHILE IN CUSTODY; REG PURS PC290; COMM
       NOTE:
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                       M/F
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       SENTENCE:
                      10/04/1993
       JAIL:
                      120 DAYS COUNTY JAIL CONCURR
       NOTE:
                      JT CONC W/CT1; COMMITTED. AB
BOOK DATE
                       BOOK TYPE
                                                     RELEASE
                                                                 STATUS
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          BOOK DATE
                       BOOK TYPE
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4324218
          07/22/1993
                       CRIMINAL, CITATION
   STAY DT/CD:
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   AAG
                    ARR OFFCR
                                              OFCN
                                                           DASN
   SAN JOSE PD
                    2728
                                            931961313
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HOSE
             V39 QUERY SINGLE CEN HISTORY
                                                  02/20/2003 11:58 PAGE:
               SANTA CLARA COUNTY ARREST AND DISPOSITION HISTORY
M: BADUE FNAM: STEVE MNAM: NMN
PFN: BGN149 LNAM: BADUE
CASE#/PURPOSE: PSI/MATTSON HISTORY NOT REC'D WRONG PFN ON JSQD BGN149
    BOOKING CHARGES:
                               M/F
                                               DSP
                                                                     DDSP
                                       FILED
   HS 11550
                                M
   CRT-DOCKET: SJ 43470-C9352084 FILED: 07/28/1993 DA CASE #: CHARGE M/F PRS ENHC HS 11550
DISPOSITION: CONVICTED DDSP: 09/27/1993
    DISPOSITION: CONVICTED
                                         DDSP: 09/27/1993
       SENTENCE: 09/27/1993

JAIL: 90 DAYS COUNTY JAIL CONCURR

NOTE: CTS 3 DAYS C/C W/ANY; REG HS11590; JP
HAG ARR OFFCR OFCN
SAN JOSE PD 2645 -
BOOKING CHARGES: M/F
MC 10.20.140
                                                               DASN
                               M CMBND OTHER COUNT/CASE 06/22/1993
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   CRT-DOCKET: SJ 43470-C9346600 FILED: 06/22/1993 DA CASE #:
CHARGE M/F PRS ENHC
MC 10.20.140D M 2
DISPOSITION: CONVICTED DDSP: 09/27/1993
SENTENCE: 09/27/1993, SENTENCE SUSPENDED
CEN BOOK DATE BOOK TYPE RELEASE STATUS
316519 04/23/1993 LOCAL BENCH WARRANT 04/26/1993 23:00 SREL
STAY DT/CD: VER IND: VERIF
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                                                                DASM
    SJS UNIV PD V4365 -
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I PRIOR BOOKING 04/23/1993
M PRIOR BOOKING 04/23/1993
I PRIOR BOOKING 04/23/1993
    BOOKING CHARGES:
    PC 374.3(A)
    PC 148(A)
    VC 21456(B)
968
STAY DT/CD:
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    BOOKING CHARGES:
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    PC 148(A)
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    VC 21456(B)
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    CRT-DOCKET: SJ 43470-C9131927 FILED: 02/19/1991 DA CASE #:
    CHARGE M/E PRS ENHC
PC 148(A)
DISPOSITION: CONVICTED
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                                           DDSP: 04/26/1993
        SENTENCE: 04/26/1993
        JAIL:
                        4 DAYS COUNTY JAIL
        NOTE:
                        CTS. 4 DYS.
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JP0H.

V39 QUERY SINGLE CEN HISTORY

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02/20/2003 11:58 PAGE: 10
              SANTA CLARA COUNTY ARREST AND DISPOSITION HISTORY
M: BADUE FNAM: STEVE MNAM: NMN
PFN: BQN149 LNAM: BADUE
CASE#/PURPOSE: PSI/MATTSON HISTORY NOT REC'D WRONG PFN ON JSQD BGN149
                        M/F
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                                      ENHC
   VC 21456(B)
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   DISPOSITION: CONVICTED
                                         DDSP: 04/26/1993
       SENTENCE: 04/26/1993, SENTENCE SUSPENDED
BOOK DATE BOOK TYPE
11/07/1985 LOCAL ARREST WARRANT
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                                                                 11/07/1985
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8253003
           03/17/1982
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                                    FILED: 04/02/1982
                                                       DA CASE #:
   THIS INFORMATION IS CONFIDENTIAL AND FOR OFFICIAL USE ONLY
                            DO NOT DUPLICATE
*** END OF LIST ***
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dockel & 97-21844 or SC062423A
314.18C felony
5 yes probation, 6 mos. joil
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89

PEOPLE VS.	SUPPRIOR COURT 190 WEST MEDDING ( SAN JOSE, CA 95110 STEVE BADUE		DATE	03/06/	CASE CEN 2003 1:30 1746 CACO6	02505140 PM DEPT. 36
L.K.A. JUDGE	FRA HON. RISE J. PICHE	NSTENT	CLERK HEARII AGENO	J.OLI AG PROBA	1786 CACO6 VAREZ YIION AND S Y4313-2836	BQN149 M ENTENCING
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CHARGES	F(001)PC290(G)(2)			• '		VIOLATION DATE
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ABSTRACT OF JUDGMENT - PRISON COMMITMENT - DETERMINATE SINGLE, CONCURRENT OR FULL-TERM CONSECUTIVE COUNT FORM [Not to be used for multiple count convictions or for 1/3 consecutive sentences.] superior court of california, county of SANTA CLARA CR-290.1 BRANCH OR JUDICIAL DISTRICT HOJ PEOPLE OF THE STATE OF CALIFORNIA vis CASE NUMBER CC241061 DOB: 01-04-66 DEFENDANT: STEVE BADUE AKA: STEVE KENT BADUE BOOKING INFORMATION: PEN BON149 CEN: 02505160 ■ NOT PRESENT COMMITMENT TO STATE PRISON ABSTRACT OF JUDGMENT MENDED ABSTRACT DATE OF HEARING DEPT. NO. JUDGE RISE J. PICHON 03-06-03 REPORTER PROBATION NUMBER OR PROBATION OFFICER J. OLIVAREZ J. ROCHA D. SALAS APPTD. COUNSEL FOR PEOPLE State Attorney General COUNSEL FOR DEFENDANT S. DICK R. DANTO DATE OF CONVICTION 1. Defendant was convicted of the commission of the following felony CODE SECTION NO. YRS. FAIL TO REGISTER AT DOB W/ PRIOR CONVICTION 2002 10-14-02 Х ENHANCEMENTS charged and found to be true TIED TO SPECIFIC COUNTS (mainly in the PC 12022 series). List each count enhancement horizontally. Enter time imposed for each or "S" for stayed. DO NOT LIST ANY STRICKEN ENHANCEMENTS. YAS DHAKSHET ENHANCEMENT TOTAL ENHANCEMENTS charged and found to be true FOR PRIOR CONVICTION OR PRISON TERMS (mainly in the PC 667 series). List all enhancements horizontally. Enter time imposed for each or "S" for stayed. DO NOT LIST ANY STRICKEN ENHANCEMENTS ENWICEMENT Y/S ENHANCEMENT Y/S ENHANCEMENT PC667.5(B) Defendant was sentenced pursuant to PC 667 (b)-(i) or PC 1170.12 (two-strikes).

FINANCIAL OBLIGATIONS (including any applicable penalty assessments):

Restitution Fine of: \$400 per PC 1202.4(b) forthwith per PC 2085.5; \$400 per PC 1202.45 suspended unless parole is revoked.

Restitution per PC 1202.4(f): \_\_\_\_ / \_\_ Amount to be determined to: \_\_\_\_ victim(s)\* \_\_\_\_ Restitution Fund

(\*List victim name(s) if known and amount breakdown in Item 7, below.)

Fine(s) [PA included]: \$\_\_\_\_ per PC 1202.5. \$\_\_\_\_\_ per VC 23550 or \_\_\_\_\_\_ days \_\_\_ county jail \_\_\_\_ prison in lieu of fine \_\_\_ CC \_\_\_ CS

Lab Fee \$\_\_\_\_ per HS 11372.5(a) for counts \_\_\_\_\_ \_\_ Drug Program Fee of \$150 + PA \_\_\_ per HS 11372.7(a).

TESTING: a. \_\_\_\_ AIDS pursuant to PC 1202.1 b. \_\_\_\_ DNA pursuant to PC 296 c. \_\_\_\_ other (specify):

Citier orders (specify): ATTY FEES WAVED; PC12021(GUN); PROB DENIED; NOT OWN/POSSESS DEALY WEAPONS; NOTICE OF APPEAL FILED

\*\*PUNISHMENT STRICKEN PURS PC1385; ADV 3YRS PAROLE. 8. TOTAL TIME IMPOSED excluding county jall term: ē ☐ This sentence is to run concurrent with (specify): Execution of sentence imposed
 a. 
 at initial sentencing hearing.
 b. 
 at resentencing per decision on appeat. d. ☐ at resentencing per recall of commitment. (PC 1170(d).)
 e. ☐ other (specify): c. after revocation of probation. DATE SENTENCE PROUNOUNCED | CREDIT FOR ACTUAL LOCAL TIME 144 LOCAL CONDUCT ⊠ 4019 □ 2933.1 SERVED TIME IN STATE INSTITUTION (6) TIME SPENT IN CUSTODY CDC 216 INCLUIDING: □ DMH 12. The defendant is remanded to the custody of the sheriff forthwith after 48 hours excluding Saturdays, Sundays, and holidays. To be delivered to: Secoption center designated by Director, California Department of Corrections.

CLERK OF THE COURT: I hereby certify the foregoing to be a correct abstract of the judgment made in this action. evsa 03-07-03 **TERESA TRAN** 

This form is prescribed under PC 1213.5 to shiftsy the requirements of PC 1213 for determinate sentences. Attachments may be used but must be referred to in this document.

Form Adopted for Mandatory Use

ABSTRACT OF JUDGMENT - PRISON COMMITMENT - DETERMINATE
Penal Cod
Judicial Council of California

SINGLE, CONCURRENT, OR FULL-TERM CONSECUTIVE COUNT FORM

§§ 1170, 1213, 1213

CR-290.1 [Rev. January 1, 2003]

Penal Code

# Criminal Case No. 241061

1 2 MAR 0 6 2003 3 4 JOSE OLIVAREZ 5 6 7 Superior Court Of California County Of Santa Clara 9 10 11 People of the State No. CC 24106/ of California, 13 Plaintiff. Notice Of Appeal 14 UB. 15 Streve Badue, Defendant. 17 18 Notice of appeal Notice of appeal, is hereby gave in the above entitled court, 19 20 from the court's judgment entered in on February 3, 2003 and 21 March 6, 2003. 22 23 I declare by penalty of perjury, and by the have of the State of 24 Calibornia, that the above statement is true and correct. 25 Signature of declarant: Stave Padue 26 Date of signature: March 6, 2003 92 27 Notice Of Appeal Page 1 of 1

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۱4.	<b>∀</b> હ.	Motion To	Appoint Coursel
15	Steve Badue,	(GC 15421)	
16	Desendant.		
17			
18	Median to appoint coursel		
19		le for the appe	aintment of counsel, in
	the above entitled court, or		
	storping niator at eldanu bro		
	372 U.S. 353, 354-355 (83 S.C.).		<b>3</b> .
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	I declare by penalty of perj		•
	California, that the above	. A	true and correct.
	Signature of declarant:		93
27	Oate of signature: March.		
	Motson to Appoint Coursel	(GC 15421)	Page 2 of
			en la la companya de

Cal Gov Code § 15421
DEERING'S CALIFORNIA CODES ANNOTATED
Copyright (c) 2003 by Matthew Bender & Company, Inc. a member of the LexisNexis Group. All rights reserved. \*\*\* THIS SECTION IS CURRENT THROUGH THE 2003 SUPPLEMENT \*\*\*
(2001-2002 SESSION) GOVERNMENT CODE TITLE 2. Government of the State of California **DIVISION 3. Executive Department** PART 7. State Public Defender

## CHAPTER 2. Duties and Powers GO TO CODE ARCHIVE DIRECTORY FOR THIS JURISDICTION Cal Gov Code § 15421 (2003)

§ 15421. Authorized representation

Upon appointment by the court or upon the request of the person involved the State Public Defender is authorized to represent any person who is not financially able to employ counsel in the following matters:

- (a) An automatic appeal to the Supreme Court under Section 11 of Article VI of the California Constitution and subdivision (b) of Section 1239 of the Penal Code.
- (b) A petition for a writ of certiorari to the United States Supreme Court with respect to a judgment on the automatic appeal to the Supreme Court under Section 11 of Article VI of the California Constitution and subdivision (b) of Section 1239 of the Penal Code.
- (c) An appeal in a noncapital, criminal case as long as the State Public Defender is fulfilling the responsibilities to provide representation imposed pursuant to subdivisions (a) and (b), or the State Public Defender determines that taking a limited number of those cases is necessary for staff training.

372 U.S. 353, \*; 83 S. Ct. 814, \*\*; 9 L. Ed. 2d 811, \*\*\*; 1963 U.S. LEXIS 1943 DOUGLAS ET AL. v. CALIFORNIA No. 34

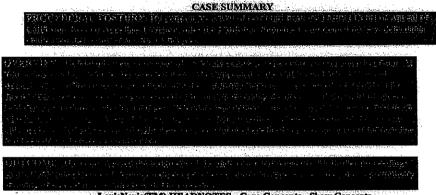
SUPREME COURT OF THE UNITED STATES 372 U.S. 353; 83 S. Ct. 814; 9 L. Ed. 2d 811; 1963 U.S. LEXIS 1943

> April 17, 1962, Argued March 18, 1963, Decided SUBSEQUENT HISTORY:

Restored to the calendar for reargument June 25, 1962. Reargued January 16, 1963.

PRIOR HISTORY: CERTIORARI TO THE DISTRICT COURT OF APPEAL OF CALIFORNIA, SECOND APPELLATE DISTRICT.

DISPOSITION: 187 Cal. App. 2d 802, 10 Cal. Rptr. 188, judgment vacated and cause remanded.



LexisNexis(TM) HEADNOTES - Core Concepts - Show Concepts Show Lawyers' Edition Display

SYLLABUS: In a California State Court, petitioners were tried jointly, convicted of 13 felonies and sentenced to imprisonment. Exercising their only right to appeal as of right, they appealed to an intermediate Court of Appeals, and, being indigent, applied to it for appointment of counsel to assist them on appeal. In accordance with a state rule of criminal procedure, that Court made an ex parte examination of the record, determined that appointment of counsel for petitioners would not be "of advantage to the defendant or helpful to the appellate court" and denied appointment of counsel. Their appeal was heard without assistance of counsel and their convictions were affirmed. The State Supreme Court denied a discretionary review. Held: Where the merits of the one and only appeal an indigent has as of right are decided without benefit of counsel in a state criminal case, there has been a discrimination between the rich and the poor which violates the Fourteenth Amendment. Pp. 353-358.

COUNSEL: Marvin M. Mitchelson and Burton Marks reargued the cause for petitioners. With them on the briefs were A. L. Wirin, Fred Okrand and Nanette Dembitz.

William E. James, Assistant Attorney General of California, and Jack E. Goertzen, Deputy Attorney General, argued the cause for respondent. With them on the briefs was Stanley Mosk, Attorney General.

JUDGES: Warren, Black, Douglas, Clark, Harlan, Brennan, Stewart, White, Goldberg

#### **OPINIONBY: DOUGLAS**

OPINION: [\*353] [\*\*\*812] [\*\*815] MR. JUSTICE DOUGLAS delivered the opinion of the Court.

Petitioners, Bennie Will Meyes and William Douglas, were jointly tried and convicted in a California court on an information charging them with 13 felonies. A single [\*354] public defender was appointed to represent them. At the commencement of the trial, the defender moved for a continuance, stating that the case was very complicated, [\*\*\*813] that he was not as prepared as he felt he should be because he was handling a different defense every day, and that there was a conflict of interest between the petitioners requiring the appointment of separate counsel for each of them. This motion was denied. Thereafter, petitioners dismissed the defender, claiming he was unprepared, and again renewed motions for separate counsel and for a continuance. These motions also were denied, and petitioners were ultimately convicted by a jury of all 13 felonies, which included robbery, assault with a deadly weapon, and assault with intent to commit murder. Both were given prison terms. Both appealed as of right to the California District Court of Appeal. That court affirmed their convictions. 187 Cal. App. 2d 802, 10 Cal. Rptr. 188. Both Meyes and Douglas then petitioned for further discretionary review in the California Supreme Court, but their petitions were denied without a hearing. nl 187 Cal. App. 2d, at 813, 10 Cal. Rptr., at 195. We granted certiorari. 368 U.S. 815.

## -----Footnotes-----

n1 While the notation of a denial of hearing by the California Supreme Court indicates that only Meyes petitioned that Court for a hearing, and is silent as to Douglas' attempts at further review, the record shows that the petition for review was expressly filed on behalf of Douglas as well. Both Meyes and Douglas, therefore, have exhausted their state remedies and both cases are properly before us. 28 U. S. C. § 1257 (3).

## -----End Footnotes-----

Although several questions are presented in the petition for certiorari, we address ourselves to only one of them. The record shows that petitioners requested, and were denied, the assistance of counsel on appeal, even though it plainly appeared they were indigents. In denying petitioners' requests, the California District Court of Appeal stated that it had "gone through" the record [\*355] and had come to the conclusion that "no good whatever could be served by appointment of counsel." 187 Cal. App. 2d 802, 812, 10 Cal. Rptr. 188, 195. The District Court of Appeal was acting in accordance with a California rule of criminal procedure which provides that state appellate courts, upon the request of an indigent for counsel, may make "an independent investigation of the record and determine whether it would be of advantage to the defendant or helpful to the appellate court to have counsel appointed. . . . After such investigation, appellate courts should appoint counsel if in their opinion it would be helpful to the defendant or the court, and should deny the appointment of counsel only if in their judgment such appointment would be of no value to either the defendant or the court." People v. Hyde, 51 Cal. 2d 152, 154, 331 P. 2d 42, 43.

## [\*\*\*HR1][1]

We agree, however, with Justice Traynor of the California Supreme Court, who said that the "denial of counsel on appeal [to an indigent] would seem to be a discrimination at least as invidious as that condemned in Griffin v. Illinois . . . . " People v. Brown, 55 Cal. 2d 64, 71, 357 P. 2d 1072, 1076 (concurring opinion). In Griffin v. Illinois, 351 U.S. 12, we held that a State may not grant appellate review in such a way as to discriminate against some convicted defendants on account of their poverty. There, as in Draper v. Washington, post, p. 487, the right to a free transcript on appeal was in issue. Here the issue is whether or not an indigent shall be [\*\*\*814] denied the assistance of counsel on appeal. [\*\*816] In either case the evil is the same: discrimination against the indigent. For there can be no equal justice where the kind of an appeal a man enjoys "depends on the amount of money he has." Griffin v. Illinois, supra, at p. 19.

In spite of California's forward treatment of indigents, under its present practice the type of an appeal a person is afforded in the District Court of Appeal hinges [\*356] upon whether or not he can pay for the assistance of counsel. If he can the appellate court passes on the merits of his case only after having the full benefit of written briefs and oral argument by counsel. If he cannot the appellate court is forced to prejudge the merits before it can even

determine whether counsel should be provided. At this stage in the proceedings only the barren record speaks for the indigent, and, unless the printed pages show that an injustice has been committed, he is forced to go without a champion on appeal. Any real chance he may have had of showing that his appeal has hidden merit is deprived him when the court decides on an ex parte examination of the record that the assistance of counsel is not required.

[\*\*\*HR2][2]

We are not here concerned with problems that might arise from the denial of counsel for the preparation of a petition for discretionary or mandatory review beyond the stage in the appellate process at which the claims have once been presented by a lawyer and passed upon by an appellate court. We are dealing only with the first appeal, granted as a matter of right to rich and poor alike (Cal. Penal Code §§ 1235, 1237), from a criminal conviction. We need not now decide whether California would have to provide counsel for an indigent seeking a discretionary hearing from the California Supreme Court after the District Court of Appeal had sustained his conviction (see Cal. Const., Art. VI, § 4c; Cal. Rules on Appeal, Rules 28, 29), or whether counsel must be appointed for an indigent seeking review of an appellate affirmance of his conviction in this Court by appeal as of right or by petition for a writ of certiorari which lies within the Courts discretion. But it is appropriate to observe that a State can, consistently with the Fourteenth Amendment, provide for differences so long as the result does not amount to a denial of due process or an "invidious discrimination." Williamson v. Lee Optical Co., 348 U.S. 483, 489; [\*357] Griffin v. Illinois, supra, p. 18. Absolute equality is not required; lines can be and are drawn and we often sustain them. See Tigner v. Texas, 310 U.S. 141; Goesaert v. Cleary, 335 U.S. 464. But where the merits of the one and only appeal an indigent has as of right are decided without benefit of counsel, we think an unconstitutional line has been drawn between rich and poor.

[\*\*\*HR3] [3] [\*\*\*HR4] [4]

When an indigent is forced to run this gantlet of a preliminary showing of merit, the right to appeal does not comport with fair procedure. In the federal courts, on the other hand, an indigent must be afforded counsel on appeal whenever he challenges a certification that the appeal is not taken in good faith. Johnson v. United States, 352 U.S. 565. The federal courts must honor his request for counsel regardless of [\*\*\*815] what they think the merits of the case may be; and "representation in the role of an advocate is required." Ellis v. United States, 356 U.S. 674, 675. n2 In California, however, once the court has "gone through" the record and denied counsel, the indigent has no recourse but to prosecute his appeal on [\*\*817] his own, as best he can, no matter how meritorious his case may turn out to be. The present case, where counsel was denied petitioners on appeal, shows that the discrimination is not between "possibly good and obviously bad cases," but between cases where the rich man can require the court to listen to argument of counsel before deciding on the merits, but a poor man cannot. There is lacking [\*358] that equality demanded by the Fourteenth Amendment where the rich man, who appeals as of right, enjoys the benefit of counsel's examination into the record, research of the law, and marshalling of arguments on his behalf, while the indigent, already burdened by a preliminary determination that his case is without merit, is forced to shift for himself. The indigent, where the record is unclear or the errors are hidden, has only the right to a meaningless ritual, while the rich man has a meaningful appeal.

n2 "When society acts to deprive one of its members of his life, liberty or property, it takes its most awesome steps. No general respect for, nor adherence to, the law as a whole can well be expected without judicial recognition of the paramount need for prompt, eminently fair and sober criminal law procedures. The methods we employ in the enforcement of our criminal law have aprly been called the measures by which the quality of our civilization may be judged." Coppedge v. United States, 369 U.S. 438, 449.

------End Footnotes-----

We vacate the judgment of the District Court of Appeal and remand the case to that court for further proceedings not inconsistent with this opinion.

It is so ordered.

DISSENTBY: CLARK; HARLAN

#### DISSENT: MR. JUSTICE CLARK, dissenting.

I adhere to my vote in Griffin v. Illinois, 351 U.S. 12 (1956), but, as I have always understood that case, it does not control here. It had to do with the State's obligation to furnish a record to an indigent on appeal. There we took pains to point out that the State was free to "find other means of affording adequate and effective appellate review to indigent defendants." Id., at 20. Here California has done just that in its procedure for furnishing attorneys for indigents on appeal. We all know that the overwhelming percentage of in forma pauperis appeals are frivolous. Statistics of this Court show that over 96% of the petitions filed here are of this variety, nl California, in the light of a like experience, has provided that upon the filing of an application for the appointment of counsel the District Court of Appeal shall make "an independent investigation of the record [\*359] and determine whether it would be of advantage to the defendant or helpful to the appellate court to have counsel appointed." People v. Hyde, 51 Cal. 2d 152, 154, 331 P. 2d 42, 43 (1958). California's courts did that here and after examining the [\*\*\*816] record certified that such an appointment would be neither advantageous to the petitioners nor helpful to the court. It, therefore, refused to go through the useless gesture of appointing an attorney. In my view neither the Equal Protection Clause nor the Due Process Clause requires more. I cannot understand why the Court says that this procedure afforded petitioners "a meaningless ritual." To appoint an attorney would not only have been utter extravagance and a waste of the State's funds but as surely "meaningless" to petitioners.

nl Statistics from the office of the Clerk of this Court reveal that in the 1961 Term only 38 of 1,093 in forma pauperis petitions for certiorari were granted (3.4%). Of 44 in forma pauperis appeals, all but one were summarily dismissed (2.3%).

-----Footnotes-----

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With this new fetish for indigency the Court piles an intolerable burden on the State's judicial machinery. Indeed, if the Court is correct it may be that we should first clean up our own house. We have afforded indigent litigants much less protection than has California. Last Term we received over 1,200 in forma pauperis applications in none of which had we appointed attorneys or required a record. Some were appeals of right. Still we denied the petitions or dismissed the appeals on the moving papers alone. At the same time we had hundreds of [\*\*818] paid cases in which we permitted petitions or appeals to be filed with not only records but briefs by counsel, after which they were disposed of in due course. On the other hand, California furnishes the indigent a complete record and if counsel is requested requires its appellate courts either to (1) appoint counsel or (2) make an independent investigation of that record and determine whether it would be of advantage to the defendant or helpful to the court to have counsel appointed. Unlike Lane v. Brown, decided today, post, p. 477, decision in these matters is not placed in the unreviewable discretion [\*360] of the Public Defender or appointed counsel but is made by the appellate court itself.

----Footnotes-----

n2 The crucial question here is, of course, the effectiveness of the appellate review which was unquestionably provided. In Lane v. Brown, post, p. 477, the unreviewable decision of the Public Defender precluded any appellate review under Indiana law. As to the fairness and effectiveness of the appellate review here as compared with Griffin v. Illinois, 351 U.S. 12 (1956), the State conceded the necessity of a transcript for adequate review of the alleged trial errors in that case. Id., at 16. Compare the statement of the District Court of Appeal in affirming here: "Further, the briefs filed by Meyes [which Douglas adopted] conform to the rules in all respects, are well written, present all possible points clearly and ably with abundant citation of pertinent authorities, and were no doubt prepared by one well versed in criminal law and procedure and in brief writing. There was no prejudicial error in not appointing counsel for defendants on the appeal." 187 Cal. App. 2d 802, 812, 10 Cal. Rptr. 188, 195.

-----End Footnotes-----

California's concern for the rights of indigents is clearly revealed in People v. Hyde, supra. There, although the

Public Defender had not undertaken the prosecution of the appeal, the District Court of Appeal nevertheless referred the application for counsel and the record to the Los Angeles Bar Association. One of its members reviewed these papers, after which he certified that no meritorious ground for appeal was disclosed. Despite this the California District Court of Appeal made its own independent examination of the record.

There is an old adage which my good Mother used to quote to me, i. e., "People who live in glass houses had best not throw stones." I dissent.

[\*\*\*817] MR. JUSTICE HARLAN, whom MR. JUSTICE STEWART joins, dissenting.

In holding that an indigent has an absolute right to appointed counsel on appeal of a state criminal conviction, the Court appears to rely both on the Equal Protection [\*361] Clause and on the guarantees of fair procedure inherent in the Due Process Clause of the Fourteenth Amendment, with obvious emphasis on "equal protection." In my view the Equal Protection Clause is not apposite, and its application to cases like the present one can lead only to mischievous results. This case should be judged solely under the Due Process Clause, and I do not believe that the California procedure violates that provision.

## EQUAL PROTECTION.

To approach the present problem in terms of the Equal Protection Clause is, I submit, but to substitute resounding phrases for analysis. I dissented from this approach in Griffin v. Illinois, 351 U.S. 12, 29, 34-36, n1 and I am constrained to dissent from the implicit extension of the equal protection approach here - to a case in which the State denies no one an appeal, but seeks only to keep within reasonable bounds the instances in which appellate counsel will be assigned to indigents.

nl The majority in Griffin appeared to rely, as here, on a blend of the Equal Protection and Due Process Clauses in arriving at the result. So far as the result in that case rested on due process grounds, I fully accept the authority of Griffin. ------End Footnotes-----

The States, of course, are prohibited by the Equal Protection Clause from discriminating [\*\*819] between "rich" and "poor" as such in the formulation and application of their laws. But it is a far different thing to suggest that this provision prevents the State from adopting a law of general applicability that may affect the poor more harshly than it does the rich, or, on the other hand, from making some effort to redress economic imbalances while not eliminating them entirely.

Every financial exaction which the State imposes on a uniform basis is more easily satisfied by the well-to-do than by the indigent. Yet I take it that no one would dispute the constitutional power of the State to levy a [\*362] uniform sales tax, to charge tuition at a state university, to fix rates for the purchase of water from a municipal corporation, to impose a standard fine for criminal violations, or to establish minimum bail for various categories of offenses. Nor could it be contended that the State may not classify as crimes acts which the poor are more likely to commit than are the rich. And surely, there would be no basis for attacking a state law which provided benefits for the needy simply because those benefits fell short of the goods or services that others could purchase for themselves.

Laws such as these do not deny equal protection to the less fortunate for one essential reason: the Equal Protection Clause does not impose on the States "an affirmative duty to lift the handicaps flowing from differences in economic circumstances." n2 To so construe it would be to read into the Constitution a philosophy of leveling that would be foreign to many of our basic concepts of the proper relations between government and society. The State may have a moral obligation to [\*\*\*818] eliminate the evils of poverty, but it is not required by the Equal Protection Clause to give to some whatever others can afford.

n2 Griffin v. Illinois, supra, at 34 (dissenting opinion of this writer).

------End Footnotes-----

Thus it should be apparent that the present case, as with *Draper v. Washington, post*, p. 487, and *Lane v. Brown, post*, p. 477, both decided today, is not one properly regarded as arising under this clause. California does not discriminate between rich and poor in having a uniform policy permitting everyone to appeal and to retain counsel, and in having a separate rule dealing *only* with the standards for the appointment of counsel for those unable to retain their own attorneys. The sole classification established by this rule is between those cases that are believed to have merit and those regarded as frivolous. And, of course, no matter how far the state rule might go [\*363] in providing counsel for indigents, it could never be expected to satisfy an affirmative duty—if one existed—to place the poor on the same level as those who can afford the best legal talent available.

Parenthetically, it should be noted that if the present problem may be viewed as one of equal protection, so may the question of the right to appointed counsel at trial, and the Court's analysis of that right in Gideon v. Wainwright, ante, p. 335, decided today, is wholly unnecessary. The short way to dispose of Gideon v. Wainwright, in other words, would be simply to say that the State deprives the indigent of equal protection whenever it fails to furnish him with legal services, and perhaps with other services as well, equivalent to those that the affluent defendant can obtain.

The real question in this case, I submit, and the only one that permits of satisfactory analysis, is whether or not the state rule, as applied in this case, is consistent with the requirements of fair procedure guaranteed by the Due Process Clause. Of course, in considering this question, it must not be lost sight of that the State's responsibility under the Due Process Clause is to provide justice for all. Refusal to furnish criminal indigents with some things that others can afford may fall short of constitutional [\*\*820] standards of fairness. The problem before us is whether this is such a case.

## DUE PROCESS.

It bears reiteration that California's procedure of screening its criminal appeals to determine whether or not counsel ought to be appointed denies to no one the right to appeal. This is not a case, like Burns v. Ohio, 360 U.S. 252, in which a court rule or statute bars all consideration of the merits of an appeal unless docketing fees are prepaid. Nor is it like Griffin v. Illinois, supra, in which the State conceded that "petitioners needed a transcript [\*364] in order to get adequate appellate review of their alleged trial errors." 351 U.S., at 16. Here it is this Court which finds, notwithstanding California's assertions to the contrary, that as a matter of constitutional law "adequate appellate review" is impossible unless counsel has been appointed. And while Griffin left it open to the States to devise "other means of affording adequate and effective appellate review to indigent defendants," 351 U.S., at 20, the present decision establishes what is seemingly an absolute [\*\*\*819] rule under which the State may be left without any means of protecting itself against the employment of counsel in frivolous appeals. n3

n3 California law provides that if counsel is appointed on appeal, the court shall fix a reasonable fee to be paid by the State. California Penal Code § 1241. It is of course clear that this Court may not require the State to compel its attorneys to donate their services.

-----End Footnotes-----

It was precisely towards providing adequate appellate review — as part of what the Court concedes to be "California's forward treatment of indigents" — that the State formulated the system which the Court today strikes down. That system requires the state appellate courts to appoint counsel on appeal for any indigent defendant except "if in their judgment such appointment would be of no value to either the defendant or the court." People v. Hyde, 51 Cal. 2d 152, 154, 331 P. 2d 42, 43. This judgment can be reached only after an independent investigation of the trial record by the reviewing court. And even if counsel is denied, a full appeal on the merits is accorded to the

indigent appellant, together with a statement of the reasons why counsel was not assigned. There is nothing in the present case, or in any other case that has been cited to us, to indicate that the system has resulted in injustice. Quite the contrary, there is every reason to believe that California appellate courts have made a painstaking effort to apply the rule fairly and to live up to the State Supreme Court's mandate. See, e. g., the discussion [\*365] in People v. Vigil, 189 Cal. App. 2d 478, 480-482, 11 Cal. Rptr. 319, 321-322.

We have today held that in a case such as the one before us, there is an absolute right to the services of counsel at trial. Gideon v. Wainwright, ante, p. 335. But the appellate procedures involved here stand on an entirely different constitutional footing. First, appellate review is in itself not required by the Fourteenth Amendment, McKane v. Durston, 153 U.S. 684; see Griffin v. Illinois, supra, at 18, and thus the question presented is the narrow one whether the State's rules with respect to the appointment of counsel are so arbitrary or unreasonable, in the context of the particular appellate procedure that it has established, as to require their invalidation. Second, the kinds of questions that may arise on appeal are circumscribed by the record of the proceedings that led to the conviction; they do not encompass the large variety of tactical and strategic problems that must be resolved at the trial. Third, as California applies its rule, the indigent appellant receives the benefit of expert and conscientious legal appraisal of the merits of his case on the basis of the trial record, [\*\*821] and whether or not he is assigned counsel, is guaranteed full consideration of his appeal. It would be painting with too broad a brush to conclude that under these circumstances an appeal is just like a trial.

What the Court finds constitutionally offensive in California's procedure bears a striking resemblance to the rules of this Court and many state courts of last resort on petitions for certiorari or for leave to appeal filed by indigent defendants pro se. Under the practice of this Court, only if it appears from the petition for certiorari that a case merits review is leave to proceed in forma pauperis granted, the case transferred to the Appellate Docket, and counsel appointed. Since our [\*\*\*820] review is generally discretionary, and since we are often not even given the benefit of a record in the proceedings below, the disadvantages [\*366] to the indigent petitioner might be regarded as more substantial than in California. But as conscientiously committed as this Court is to the great principle of "Equal Justice Under Law," it has never deemed itself constitutionally required to appoint counsel to assist in the preparation of each of the more than 1,000 pro se petitions for certiorari currently being filed each Term. We should know from our own experience that appellate courts generally go out of their way to give fair consideration to those who are unrepresented.

The Court distinguishes our review from the present case on the grounds that the California rule relates to "the first appeal, granted as a matter of right." Ante, p. 356. But I fail to see the significance of this difference. Surely, it cannot be contended that the requirements of fair procedure are exhausted once an indigent has been given one appellate review. Cf. Lane v. Brown, post, p. 477. Nor can it well be suggested that having appointed counsel is more necessary to the fair administration of justice in an initial appeal taken as a matter of right, which the reviewing court on the full record has already determined to be frivolous, than in a petition asking a higher appellate court to exercise its discretion to consider what may be a substantial constitutional claim.

Further, there is no indication in this record, or in the state cases cited to us, that the California procedure differs in any material respect from the screening of appeals in federal criminal cases that is prescribed by 28 U. S. C. § 1915. As recently as last Term, in Coppedge v. United States, 369 U.S. 438, we had occasion to pass upon the application of this statute. Although that decision established stringent restrictions on the power of federal courts to reject an application for leave to appeal in forma pauperis, it nonetheless recognized that the federal courts could prevent the needless expenditure of public funds by summarily disposing of frivolous appeals. Indeed in some [\*367] respects, California has outdone the federal system, since it provides a transcript and an appeal on the merits in all cases, no matter how frivolous.

I cannot agree that the Constitution prohibits a State, in seeking to redress economic imbalances at its bar of justice and to provide indigents with full review, from taking reasonable steps to guard against needless expense. This is all that California has done. Accordingly, I would affirm the state judgment. n4

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[\*\*\*HR5] [5]

n4 Petitioners also contend that they were denied the effective assistance of counsel at trial. This claim, in my view, is without merit. A reading of the record leaves little doubt that petitioners' dismissal of their appointed counsel and their efforts to obtain a continuance were designed to delay the proceedings and, in all likelihood, to manufacture an appealable issue. Moreover, the trial court acted well within constitutional bounds in denying the claim that there was a conflict of interest between Douglas and Meyes that required a separate appointed attorney for each.

-----End Footnotes-----

# SUPELIOR COURT OF CALIFORNIA LED COUNTY OF SANTA CLARA MAR 1 1 2003

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3 -6 -03	Probation/Sentencing	J. Rocha		
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Page 1 of	<u> </u>		ULegal	Process Clerk
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Filed 03/03/2008

IN THE SUPERIOR COURT OF THE STATE OF CALIFORNIA

MARCH 11, 2003

IN A	AND FOR THE COUNTY OF SANTA CLARA	FILED
PLAINTIFF:	THE PEOPLE OF THE STATE OF CALIFOR	RNIA MAR 1 1 2003
DEFENDANT:	STEVE KENT BADUE	KIRI TORRE Chief Expeditor Office Sterk Superior Court of CA. Court of Santa Clara By
Ю	TICE OF FILING NOTICE OF APPEAL	, CASE NUMBER: CC241061
PLEASE TAKE	NOTICE THAT A NOTICE OF APPEAL FROM THE	DGMENT ENTERED 03-06-2003
IN THE ABOVE	-ENTITLED ACTION WAS FILED IN THIS OFFICE ON _	MARCH 06, 2003
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COURT OF APPEAL SIXTH APPELLATE DISTRICT 333 W. SANTA CLARA ST. STE. 1060 SAN JOSE, CA 95113

ATTORNEY GENERAL 455 GOLDEN GATE AVENUE ROOM 11000 SAN FRANCISCO, CA 94102

SAN JOSE, CALIFORNIA ON \_\_\_\_

DISTRICT ATTORNEY 70 WEST HEDDING STREET, WEST WING SAN JOSE, CA 95110

SIXTH DISTRICT APPELLATE PROGRAM 100 NORTH WINCHESTER BLVD, SUITE 310 SANTA CLARA, CA 95050

DEPUTY CLERK

M. MALLABO

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DEFENDANT:	STEVE KENT BADUE			
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I, M. MALLABO, Deputy County Clerk of the County of Santa Clara, State of California, hereby certify that I have compared the foregoing copies, and each of them, respectively, with the original documents as listed on the "Index to Clerk's Transcript" herein, as the same respectively remain on file and of record in my office, and that all of the foregoing copies are, and each of them is, a full, true, and correct transcript of such originals and of the whole thereof.

I further certify that I have complied with CCP 237 (a) (2) in that all personal juror identifying information has been redacted if applicable.

In witness, I have hereunto set my hand and the seal of said Superior Court, this March 13, 2003



KIRI TORRE, CHIEF EXECUTIVE OFFICER/CLERK

BY:

M. MALLABO

EPUTY CLERK

THE PEOPLE VS. STEVE KENT BADUE

**CASE NUMBER:** 

CC241061